

**UNITED STATES AGENCY FOR INTERNATIONAL
DEVELOPMENT**

**BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF FOOD FOR PEACE
DEVELOPMENT PROGRAMS TEAM**

FINAL DRAFT

P.L. 480 TITLE II GUIDELINES
for
DEVELOPMENT ACTIVITY PROGRAMS:

DAP Proposals
DAP Amendments

February 8, 2001

LIST OF ACRONYMS

ADS - Automated Directives System
AER - Annual Estimate of Requirements
AID - Agency for International Development
AIDS - Acquired Immune Deficiency Syndrome
BEO - Bureau Environmental Officer
BHR - Bureau for Humanitarian Response
CBO - Country Backstop Officer
CFR - Code of Federal Regulations
CP - Congressional Budget Justification (formerly known as the Congressional Presentation)
CS - Cooperating Sponsor
CSR - Commodity Status Report
CSR4 - Cooperating Sponsor Results Report and Resource Request
DA - Development Assistance
DAP - Development Activity Program
EA - Environmental Assessment
EDM - Environmental Documentation Manual
ESR - Environmental Status Report
EXO - Executive Officer
FACG - Food Aid Consultative Group
FAM - Food Aid Management
FFP - Office of Food for Peace
FFPIS - Food for Peace Information System
FFW - Food for Work
FY - Fiscal Year
HIV - Human Immunodeficiency Virus
IEE - Initial Environmental Examination
ISA - Institutional Support Assistance Grant
ITSH - Internal Transport, Storage, and Handling
LOA - Life of Activity
LDC - Least Developed Country
LIFE - Leadership and Investment in Fighting an Epidemic
LIFDC - Low Income Food Deficit Country
MCH - Maternal and Child Health
MOU - Memorandum of Understanding
MT - Metric Ton
NICRA - Negotiated Indirect Cost Rate Agreement
NGO - Non-governmental Organization
PAA - Previously Approved Activity
PEA - Programmatic Environmental Assessment
P.L. - Public Law
PVO - Private and Voluntary Organization
R2 - Results Report
CSR4 - Results Report and Resource Request
REDSO - Regional Economic Development Service Office
REO - Regional Environmental Officer
RFFPO - Regional Food for Peace Officer
UMR - Usual Marketing Requirements
USAID - United States Agency for International Development (a.k.a. AID)
U.S.C. - United States Code
USDA - United States Department of Agriculture
WFP - World Food Program

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INTRODUCTION TO GUIDELINES

These guidelines are to be issued under Section 207(b) of the Agricultural Trade Development and Assistance Act of 1954 (P.L. 480), as amended, and Supplement Appendix I of 22CFR Part 211. The Bureau for Humanitarian Response's Office of Food for Peace (FFP) solicited comments from the Food Aid Consultative Group and United States Agency for International Development (USAID) Missions, Regional Bureaus, and Central Bureaus. These guidelines, though not regulation under Section 207 (c) of P.L. 480, will be made available in final draft for public comment through a notice published in the Federal Register.

In their final form, these guidelines will be provided for use by Cooperating Sponsors (CSs) and USAID Missions during the preparation and review of P.L. 480 Title II multi-year operational plans known as Development Activity Program (DAP) proposals. USAID Missions may provide additional suggestions for proposals to respond to critical food security constraints in the recipient country. These final guidelines will apply to all proposals for new Title II development programs. The review, approval, and reporting procedures for Title II development programs are also described.

Hard copies of guidelines are available from FFP directly, or electronically from FFP's home page on the Internet (http://www.info.usaid.gov/hum_response/ffp).

DEVELOPMENT ACTIVITY PROGRAM PROPOSALS

I. Standard Submission and Review Cycle

CSs will submit proposals to the appropriate USAID Mission no later than March 1st of the FY prior to the FY in which the activities are to commence (for example, by March 1, 2001 for activities to start in FY 2002, which starts October 1, 2001) and to USAID/Washington no later than April 15th. Missions will provide comments and recommendations to USAID/Washington no later than April 15th.

USAID/Washington will reach a final decision (approve and negotiate a signed transfer authorization, or deny approval) on DAP proposals within 45 days of submission of a complete DAP to USAID/Washington. In the case of denial, FFP will specify the reasons and inform the CS of the conditions that must be met for approval of the proposal. If the CS wishes to resubmit for approval for the same FY, revised documents will be accepted until September 30th. Alternatively, proposals may be submitted the following FY.

FFP requests that CSs make every attempt to meet these deadlines. In the event that these deadlines cannot be met, CSs are requested to notify FFP in advance of the submission due date and obtain agreement from FFP on alternatives dates for the submission, review, and approval of new DAPs and DAP Amendments.

II. DAP Submission Models

Depending upon the degree of collaboration between the local USAID Mission and the potential Cooperating Sponsor, three general approaches toward DAP submission are outlined below: coordinated country development programs, regional development programs, and stand-alone development programs. The country consolidation model (described below), represents the optimum in program coordination in-country and could minimize the number of program units that would require management attention at the USAID Mission and in FFP. Some degree of program coordination is required where three or more CSs have programs in one country.

Consistent with P.L. 480 Section 202(b)(2) - programs cannot be denied solely because they do not conform to a development plan for the country prepared by the Agency, or because USAID does not have a presence in the country. The models described below may be modified depending upon the individual circumstances.

A. Coordinated Country Development Programs

1. Individual Submission

Under this model, CSs submit individual proposals with joint activities, which may range from simply a joint monetization to a fully coordinated activity where CSs carry out highly similar programming interventions in different geographic areas, or highly complementary interventions, feeding into joint impact objectives and achieving a high degree of coverage over the country's areas of described need. Proposals ideally should be based upon a single country-level needs assessment. Joint baseline and evaluations may also be part of this model.

Although not a requirement, USAID welcomes proposals that demonstrate consistency of the activity with the Mission's strategic plan. CSs are encouraged to participate in planning processes of USAID Missions, as members of expanded strategic objective, strategic support objective and/or special objective (SO) teams. They are also encouraged to participate in the identification of country development problems and the development of information showing the relationship between the use of Title II food aid and improved food security with Mission strategic objectives. Where CS programs are an integral part of a Mission's strategic plan, financial support from the USAID Mission is more likely.

National-level food security needs assessments are required to identify a limited number of key problems and intervention points to be followed up by coordinated programming in order to have a greater impact on food security problems. These assessments may be conducted jointly, individually using a common methodology, or CSs can commonly rely on a single assessment conducted by a

third-party organization. More in-depth household assessments are also critical to indicate the kind of interventions likely to have an impact on food security and nutrition.

Joint strategic and operational planning, utilization of common methodologies and approaches toward health service delivery, agricultural problems, education, etc., allows programs to scale up to meet greater numbers of beneficiaries as well as to realize efficiencies in monitoring and evaluation design and exercises. Similarly, where several CSs carry out monetization activities jointly, management efficiencies and improved cost recovery has generally been the result.

2. Consolidated Submission

Under this model, any range of the joint activities stated above may be included, however the proposal may be submitted with a single lead agency and sub-recipient agencies. The prime CS will be given flexibility in annual adjustments in commodity and budget levels between implementing organizations, within the overall life-of-activity levels approved for the proposal. A single AER and budget would be expected, along with single CSR4s and evaluations over the duration of the DAP. This model is encouraged where implementing organizations can come together and provide complementary skills and services to a larger program. Similarity or complementarity between the programs would be expected.

B. Regional Development Programs

A consolidated regional proposal may be deemed appropriate where USAID Mission presence is non-existent or it is highly difficult to integrate Title II activities with the USAID Mission strategic plan. In this instance, a single CS would submit a plan for programs with a common sectoral focus (e.g., health, agriculture, water and sanitation, etc.), operating in a region (South Asia, East and Southern Africa, West Africa, Central America, or South America), subject to the geographic priorities noted in section V.B. on page 5. If monetization is proposed as a significant funding source, the region should be more tightly defined as a group of adjacent countries. Joint regional monetization activities would be subject to the requirements outlined in FFP's Monetization Field Manual. Bellmon analyses must be done individually by country, although monetization may be conducted in one or more countries to provide local currency funds for all programs covered by the regional DAP.

Proposals must include a complete analysis for each country program, all of which must demonstrate impacts at the household level. During the DAP period, CSs will have flexibility to adjust annual country funding levels within the regional group of countries through the annual resource request approval process.

CSs would be expected to provide significant financial inputs as a cost share, for example 10% of the overall budget. The CS would also be held accountable for meeting the Congressional Title II mandate for processed/bagged commodities within the regional program. The CS will also be required to comply with all standard Title II policies.

Where a CS considers moving to a regional approach, currently approved programs should not be terminated early. However, amendments to a regional program may be made in order to phase-in additional country activities to a regional program.

C. Stand-alone Individual Development Programs

Under this model, CSs submit individual proposals, which may or may not have significant coordination elements with either the local USAID Mission or other CSs.

If a USAID Mission determines that the Title II proposed activity does not fit into its strategic objectives, the Mission will be expected to review the proposal and provide comments to BHR/FFP. However, the proposal's lack of conformance with Mission strategic objectives, alone, will not be considered as grounds for disapproval by USAID.

Such proposals will be considered entirely on their merits against the proposal review criteria.

III. Proposal Submission in Countries with "Re-delegated" Missions

Where a USAID Mission has CSR4 approval authority, the same general Guidelines apply.

IV. Proposal Submission in Countries without USAID Missions/ Regional Proposal Submission

Where no USAID Mission is present in the country, the proposal should be submitted by the CS to the designated USAID "twinning" Mission, or U.S. country team for review. In West Africa, CSs should also submit a copy of the proposal to the Regional Food for Peace Officer for review. If a REDSO or bilateral Mission covers the country, the country team is encouraged to incorporate REDSO FFP officers into the review. Following completion of the review, the U.S. diplomatic post's country team (e.g., Chief of Mission and department heads, economic-commercial, political, and agricultural attachés) will provide comments to BHR/FFP. The CS should contact BHR/FFP if it has questions regarding submission.

If a CS were proposing a regional program, the proposal would be submitted to all applicable USAID Missions and field units for review and submission of comments to BHR/FFP.

V. Proposal Review and Approval Criteria

The following criteria are those against which all proposals will be reviewed, and against which program quality will be judged.

A. Technical Quality

1. Problem Analysis

Proposal makes a strong case for the chosen location and target population, addressing food insecurity. The proposal describes how and why the target population(s) have been selected. The geographical and demographic targeting in-country is justified using appropriate needs assessment techniques, including a country-wide analysis that addresses the nature, causes, scope and consequences of the food security problem.

2. Program Objectives and Impact

- a. Objectives and sub-objectives are clearly and concisely presented and are in accordance with food security objectives as stated in USAID's Food Aid and Food Security Policy paper, especially household nutrition and agricultural productivity.
- b. Activity design presents a convincing case that food security results will be achieved in relation to key causes of food insecurity in the host country and/or address key food security needs of the target community. Interventions being proposed have a clear and logical relationship to [the proposed] objectives, and are technically sound, so that objectives are realistically achievable during the life of the activity.
- c. The level of anticipated food security impact is measurable at the local household level.
- d. Proposal demonstrates prospects for financial and/or institutional sustainability of intended benefits. Measures of sustainability may include: cost recovery, financial commitment of partners to continue activities after cooperating sponsor support is withdrawn, cost share, increased technical/managerial capacity of counterparts (e.g., the strengthening of local government, non-governmental organizations (NGOs) or other partners), and increased local capacity to address food security, including preparing for, and/or mitigating the effects of natural disasters or responding to emergencies.

- e. Financial and staff resources are sufficient to achieve the objectives proposed, and are reasonably estimated and allocated.

Proposal demonstrates integration and coordination of P.L. 480 Title II program activities with other development interventions in the area. Integration and coordination may include work with the community, local government, USAID Mission, other donors and/or other non-governmental organizations, including Title II program CSs, wherever possible. Special consideration will be given to consolidated country programs that reflect CS collaboration in pooling resources to work toward the same food security-enhancing objectives.

3. Monitoring and Evaluation

Proposal articulates a comprehensive and actionable methodology for monitoring and evaluation, that includes baseline data, (or a plan to complete the baseline data collection within the first year of the DAP), measurable intermediate results, and procedures to collect, analyze, and incorporate results in modifying the activity based on lessons learned.

B. Geographic and Sectoral Focus

Priority for programs in sub-Saharan Africa and South Asia will be reflected in the Congressional Budget Justification (CP – formerly known as the Congressional Presentation) country allocations determined by FFP. Consistent with the policy paper, all Title II programs will address problems of food access, availability, and utilization. The focus on food access and availability is largely on agricultural production and marketing in rural areas, where the majority of poor live. Raising agricultural production for all households is critical, as is improving rural infrastructure to facilitate trade and lower and stabilize prices of agricultural commodities. Raising incomes from both agricultural commodity sales and non-farm micro-enterprises is key to broad-based improvements in food security. The focus on food utilization includes such areas as maternal and child health, control of infectious diseases, nutrition education, and water and sanitation. Research indicates that the most important groups to reach are pregnant and lactating mothers and children under two years. Malnutrition in this age group has a lasting impact on a child's ability to mature and grow mentally and physically.

C. Legislative Mandates

Proposals that utilize value-added commodities will receive priority over proposals that utilize commodities not appearing on the value-added commodities listing (See Annex G). Proposals with a significant direct distribution component

will be given priority. Proposals for larger programs are more efficient in assisting the Title II program to meet its sub-minimum tonnage requirements for non-emergency programs.

D. Integration and Partnership

Proposal demonstrates integration and coordination of P.L. 480 Title II program activities with other development interventions in the area. Integration and coordination may include work with the community, local government, USAID Mission, other donors and/or other non-governmental organizations, including Title II program CSs, wherever possible. Special consideration will be given to consolidated country programs that reflect CS collaboration in pooling resources to work toward the same food security-enhancing objectives.

E. Cooperating Sponsor's Capacity

The CS has demonstrated adequate technical, financial and managerial capability to design, implement and monitor the proposed activity (including the number and size of programs managed or proposed). Its use of Title II non-emergency resources complements the CS's strategy for the particular country and/or region. CS headquarters, in-country, or regional personnel also demonstrate an adequate ability to backstop the proposal. The proposal explicitly addresses the types of capacity building that will take place within the CS or counterparts to increase the sustainability of results.

VI. Instructions for CS Preparation of Development Activity Program Proposals

Proposals must:

- be written in 12-point type (narrative) in English
- be limited to 50 pages (including Appendices A-C);
- be submitted as files saved as MS Word 97 (text) and Excel spreadsheets (attachments)
- include only the information requested (state if a section is not applicable; cross referencing and use of charts are encouraged to present information concisely and eliminate repetition)

Use of the proposal format provided in Annex A is strongly encouraged. CSs are required to submit 2 unbound copies and 1 electronic copy to the USAID Mission no later than March 1st, and 1 unbound copy and 1 electronic copy to FFP no later than April 15th. (Where REDSO offices operate, the USAID Mission should receive 1 hard copy and 1 electronic copy, and the REDSO office should receive 2 hard copies and 1 electronic copy).

A. Executive Summary

The proposal should include a concise summary of the proposed Title II activity, including number of years (up to five) for which funding is proposed, and the background of the food security problem along with a very brief history of CS activities in the region.

B. Problem Analysis and Proposed Interventions

CSs should provide a detailed analysis of the food security problem and briefly summarize their proposed interventions. Country-level food security analyses are preferred, and where there is more than one CS operating in a country, joint analyses and intervention plans are encouraged. These should cover:

- **Nature:** Identification of the food security problem on a national level, and what needs to be done to alleviate it;
- **Causes:** Perception of causes at the national and local levels, and the relationship among causes.
- **Scope:** Number of people affected by the problem, its distribution among economic and social groups and geographic areas;
- **Consequences:** Effect of the problem on the quality of life of groups of special concern (such as women and children); priority level of the problem according to representatives of the host country.

C. Program Objectives and Design

This section covers the proposed objectives and the activities intended to achieve them. For each objective and its related activity, a narrative is requested.

1. Specific Objectives

CSs are asked to prioritize sub-objectives, keeping them focused and limited in number. CSs should ensure that program objectives and activities are identified in relation to the technical sectors described under activities, below.

A time frame is requested for the overall activity period for completion of objectives/sub-objectives. Strategic objectives should have a direct accordance with objectives in the food security policy paper. Any planned capacity building efforts should be subsumed within specific food security objectives.

2. Proposed Activities

State the target population and describe what is to be accomplished through what types of activities. Briefly state the expected results and impact of the activities.

CSs are asked to describe the activities and target population, and provide technical information regarding the planned interventions. Gender issues must be addressed in the design, targeting and management of the project components. Activities should be laid out in relation to technical sectors, specifically: health and nutrition (including water and sanitation); agriculture production and marketing (including natural resource management, irrigation, and infrastructure); micro-enterprise activities; education; and humanitarian assistance programs.

Humanitarian assistance programs targeting HIV/AIDS may be appropriately integrated with MCHN or other Title II sectoral activities, where it is determined that HIV/AIDS represents a critical constraint to household food security. HIV/AIDS activities should be integrated with those funded by other sources (CS, USAID Mission, etc.), as well. Where possible, direct co-programming of resources (CS, USAID Mission, etc.) should be undertaken. For activities with HIV/AIDS components, the impact of HIV/AIDS on household food security and how the proposed activities would mitigate that impact should be described.

3. Key Assumptions and Risks

The proposal should discuss the key or critical assumptions of the planned activity and any risks, which may negatively affect expected results and briefly describe any contingency plans to mitigate the effect of changes in critical assumptions.

4. Sustainability Strategy

CSs are asked to present their exit strategy for Title II assistance; their sustainability strategy for activity results, and how sustainability will be measured.

5. Lessons Learned

In the case where the CS had a previous Title II program in the target country, the activity design should incorporate lessons learned from previous activities and respond to the concerns raised in recent evaluations or audits. Where the project builds on non-Title II investments/activities in the area, outline these activities, their impact, and lessons for the current proposal design.

D. Complementarity

The proposal should: describe how the interventions support or complement host government (national, regional, or local), CS and USAID Mission strategic development objectives; note any complementarity between the proposed program and other development activities being undertaken in the country; indicate where complementary programs are being carried out; state how Title II resources are being

integrated with other resources; and describe partnerships and alliances with community and local groups, as well as with other CSs.

When collaboration with other CSs is anticipated, the proposal should note whether the organizations are working toward the same specific objectives, carrying out similar or complementary activities, and how they plan to pool resources to do so.

When multiple CSs are proposing a consolidated submission the relationship between the lead and sub-recipient agencies should be described.

E. Detailed Implementation Schedule

A detailed, time-phased implementation schedule for each FY of the proposal should be included. Refer to the appropriate USAID field unit regarding the degree of detail desired, as the USAID Mission is the primary review point for the implementation schedule.

F. Audits

The proposal should describe the planned audit activity in relation to the proposed Title II program.

G. Monitoring and Evaluation

1. Monitoring and Evaluation Plan

A monitoring and evaluation plan should be developed and implemented to measure the performance indicators and report on the degree of achievement of performance targets. A viable plan should include the following:

- a. For each indicator, clearly identify the type of data to be collected, the frequency of data collection, the methodology to be used, the population covered, key assumptions anticipated in the planned interpretation of data, and the personnel who will collect and analyze the data.
- b. Describe the information and data collection systems in place or planned that will be used to track progress related to annual monitoring indicators. Describe how monitoring information will be used to adjust activity implementation.
- c. Describe the evaluation component of the activity planned for measuring progress related to impact indicators, including personnel and funding required. In addition, describe the evaluation design, including sampling plan and plans for control groups, if any; describe sources of baseline data; and present a time line for the baseline study (which should be completed within the first year), the mid-term evaluation, and an impact evaluation (which should be conducted in the fourth year of the program). Where behavioral

change is sought, describe the monitoring procedure (technique, frequency) which will be used to measure behavioral change.

d. If the activity includes components that require submission of an Initial Environmental Examination or Environmental Assessment, including activities related to agriculture, natural resource management, water and sanitation, and/or physical infrastructure development, briefly describe how environmental impact will be monitored. Also discuss whether the environmental effects will be part of the project's overall monitoring and evaluation system, and if so, whether annual and impact indicators have been developed.

2. Performance Indicators and Targets

Managing for results requires the identification of objectives, intermediate results, and measurable performance indicators in order to demonstrate sustainable impact of the Title II activity on food security. Performance indicators measure the extent to which the activity results in changes in behavior and well being at the population level, as well as progress in activity implementation. Two types of performance indicators should be identified in the DAP proposal: impact indicators and annual monitoring indicators. (Further information on indicators is available, see Annex H for a list of additional information resources).

The CS should quantify in the proposal the current level of each impact indicator and provide specific targets for the LOA and each relevant program year. FFP recognizes that proposal targets are likely to be estimates, and subject to revision after definitive baseline numbers have been established.

Where appropriate, indicators and targets can be established to capture the impact of mitigation activities that lessen the negative impact of a problem, such as a drought, cyclone, or a high prevalence of HIV/AIDS, on household food security of a particular target group. (A number of HIV/AIDS indicators have been developed previously. CSs are encouraged to review these indicators as they develop their DAP.) Where possible, CSs are encouraged to work with USAID Missions so that CS monitoring complements or supplements USAID monitoring and evaluation efforts, and visa-versa.

H. Commodity Market Issues

1. Bellmon Analysis

This is a statutory requirement for the provision of Title II food aid under P.L. 480. The Bellmon Analysis should focus on FY 2001. For detailed guidance for gathering the information necessary for a Bellmon Determination, CSs should consult the 1985 Background Paper and Guide to Addressing Bellmon

Amendment Concerns on Potential Food Aid Disincentives and Storage and the USAID cable titled Bellmon Certification Requirements for P.L. 480 Title II Activities (reissued, August 1999). For supplemental information regarding market analysis, CSs should consult the P.L. 480 Title II Monetization Field Manual. These documents are available from FAM or FFP (see the list of information available in Annex H), and are also online at: http://www.usaid.gov/hum_response/ffp/monetiz.htm.

A Bellmon analysis must be performed in each country where Title II commodities will be distributed or sold, including each country incorporated into a regional proposal. CSs should note in the text of the proposal who carried out the Bellmon analysis, and provide a very brief statement regarding the summary conclusions, relevant issues or areas of concern, and plans to ensure they are mitigated or resolved. A copy of the Bellmon Analysis should be submitted as an appendix to the DAP proposal. Congress has directed USAID to ensure that U.S. commodities will not have a disruptive impact on the farmer or the local economy of the recipient country.

2. Usual Marketing Requirements

Usual Marketing Requirements (UMR) are described in the Monetization Field Manual. UMR estimates are prepared by USDA and include recommended concessional programming ceilings for individual commodities. CSs are urged to discuss these with the local USAID Mission in preparing the DAP proposal. If there are any issues to be addressed, they should be discussed in this section.

I. Activity Resource Requirements

1. Commodities

The following charts and tables should be included in the DAP proposal.

a. Annual Estimate of Requirements

A signed Annual Estimate of Requirements (AER) reflecting the tonnage to be approved should be provided as Appendix A of the DAP proposal. For follow-on DAPs, a commodity pipeline analysis is provided as part of the AER. The pipeline analysis will be periodically and jointly evaluated by the CS and FFP with particular emphasis on the final prior year Commodity Status Report (CSR) and data provided in the CSR4.

b. Commodity Worksheet

The commodity worksheet for the life of activity (LOA) should be provided.

c. Commodity Procurement Schedule

A commodity procurement schedule should be provided.

d. Monetization Plan

If monetization is required by the DAP, a monetization plan is required, as outlined in the relevant sections of the Title II Monetization Field Manual.

CSs are reminded that FFP applies the same requirements and procedures regarding vehicle purchases funded by monetization as those funded by Section 202(e) grants; follow instructions as laid out for Section 202(e) funding in Annex E.

e. Logistics Plan

A logistics plan addresses commodity-related issues, including port facility, storage infrastructure, port management capabilities, transport status, and commodity pipeline. For landlocked countries, FFP approval is required for the points of entry (limited to four). For special procurement or shipping requests, such as containerization or through bills of lading for non-landlocked countries, a detailed justification is required.

CSs with an on-going program that will request reimbursement for inland transportation charges must provide FFP with a copy of the current contract, and note what changes, if any, are anticipated. If the subject contract is not in English, a translation of the contract should also be provided. In preparing a transportation contract, attention should be paid to USAID Regulation 11 (22 CFR 211) to ensure that all USAID reimbursable costs will be reimbursed by USAID. CSs should also include an estimate of total U.S. dollars needed for inland transportation for the fiscal year.

CSs without a prior Title II program in a given country should submit data from pro-forma invoices or contract quotes submitted by likely inland transport companies.

Submission of the required information to FFP is pivotal to establishing an inland transportation account for reimbursement.

2. Financial Plan

a. Budget Narrative

Budget narratives for monetization and Section 202(e) funding are to be included. See Annex E for specific instructions on Section 202(e) grants.

b. Budgets

Comprehensive budgets and corresponding detailed budgets should be attached as Appendix B to the DAP proposal. See Annex E for instructions on Section 202(e) grants.

c. Overhead Rate

A copy of the organization's latest approved negotiated indirect cost rate agreement (NICRA) is to be included.

3. Human Resources

An organizational chart is required, identifying position titles of CS staff and the amount of time that will be devoted to each proposed activity and the corresponding responsibilities. If major technical assistance is being planned, CSs are to explain the scope of the activity and the individual or organization responsible.

J. Waiver Requirements

If the non-American procurement of items is intended, source/origin waiver requests and justifications should be made as part of the DAP proposal. In the case of vehicles, the proposal should state how many non-American vehicles are planned for purchase, from which funding source, and justify fully why non-U.S. procurement is necessary. A copy of the written procurement policy of the relevant Mission should be attached. If a vehicle source/origin waiver is requested after the DAP is approved, the process to be followed is described in the Motor Vehicle Procurement section IV.C. of Annex E, Section 202(e) Funding Instructions.

K. Initial Environmental Examination

All DAP proposals submitted to USAID/Washington must include, as an attachment, an Initial Environmental Evaluation (IEE) cleared by the Mission Director or his/her designee (typically a Mission environmental officer). For the consolidated country proposals, a single IEE should be submitted, which covers all

activities. For consolidated regional proposals, an IEE should be submitted for each country program. Refer to Annex F for further information.

L. Certification Regarding Lobbying

Lobbying certificates must be completed for all proposals.

M. Agreements, Contracts & Letters

CSs should attach the current signed CS/Host Country Food for Peace Program Agreement, which should make reference to and incorporate or attach Regulation 11. The DAP proposal should indicate whether there are outstanding issues, such as: the adequacy of the current agreement; exemption from the payment of taxes on Title II program commodities, material, and equipment; the continuation of tax exemptions on distribution commodities; how taxes/fees/tariffs for monetization commodities will be covered; and how the host country has cooperated with the CS in the implementation of its programs in accordance with Regulation 11 (in the case of follow-on DAPs).

DEVELOPMENT ACTIVITY PROGRAM AMENDMENTS

I. DAP Amendment Submission and Review Process

Public Law 480 requires multi-year programs and DAPs are thus reviewed on that basis, including the objectives and purpose of the DAP. Deviation from those objections and purposes are presumptively unnecessary. In addition, a CS should not propose a significant change to a previously approved program, such as, a) an increase in the total life-of-activity (LOA) resource request based upon the local currency and 202(e) LOA monetization budgets and/or the direct distribution commodity requirements; and/or b) a cumulative change of 10% or more into or between priority sectors (health/nutrition and agriculture) of the comprehensive LOA monetization budget or direct distribution commodity tonnage.

If there exist conditions such that a CS believes that an Amendment to a previously approved program is warranted, the following guidelines apply.

In instances of commodity or freight price fluctuations, FFP will amend approval documentation (transfer authorizations) to allow an increase in program commodities of an amount representing up to 10% of the LOA value of all program commodities), although a formal DAP Amendment will not be required in this instance.

A. Standard Submission and Review Cycle

The same deadlines apply to DAP amendments as described for DAP proposals on page 1 of these guidelines.

B. DAP Amendment Submission under "Re-delegated" Missions

In a country where a USAID Mission has approval authority for annual resource requests, these Guidelines should be followed. The USAID Mission prepares approval documentation for the Director of FFP's signature.

C. Consolidated (Country and Regional) DAP Amendments

The need for a DAP amendments for consolidated DAPs should be based upon the same parameters as outlined in I. above.

Some flexibility is provided, for which DAP amendments are not required. Subject to agreements worked out by the CSs, consultation with USAID Missions, Washington and local partners, overall estimated LOA levels, and funding availability:

1. The lead CS of a consolidated country DAPs will have the authority to adjust annual program levels between CSs. Changes may be described in the CSR4.
2. A CS with a consolidated regional DAPs (a single CS with multiple country programs) will have the authority to adjust annual program levels (up to 10% over the LOA) between country programs. Changes may be described in the CSR4.

D. DAP Amendment Review Process

Approval of new activities and implementation arrangements as described within the DAP amendment will be based on the DAP proposal review criteria. Annual funding will be subject to the availability of funds and commodities.

A program should advise in its CSR4 submission its intent to submit a DAP amendment. The first of the stated review criteria, the assessment that "adequate progress is being made towards achieving results as reported in the latest CSR4," is considered a critical factor in the approval of a DAP amendment.

E. DAP Amendment Review and Approval Criteria

DAP amendments will be approved based on: successful activity implementation, responsiveness to previously expressed concerns and recommendations, evaluation of the resource request (financial plan and AER), mission concurrence, and environmental compliance. Significant changes will be reviewed against the appropriate DAP criteria. Final approval will be subject to commodity and funding availability:

II. Instructions for CS Preparation of DAP Amendments

All DAP amendments should:

- be written in 12-point type (narrative) in English
- follow the format presented in Annex B
- be limited to 30 pages, (including Appendices A-C)
- be submitted as files saved as MS Word 97 (text) and Excel spreadsheets (attachments)
- include only the information requested (state if a section is not applicable; cross referencing and use of charts are encouraged to present information concisely and eliminate repetition)

Use of the DAP amendment format provided in Annex B is strongly encouraged. CSs are required to submit 2 unbound copies and 1 electronic copy to the USAID Mission no later than March 1st, and 1 unbound copy and 1 electronic copy to FFP no later than April 15th. (Where REDSO offices operate, the USAID Mission should receive 1 hard copy and 1 electronic copy, and the REDSO office should receive 2 hard copies and 1 electronic copy).

A. Executive Summary

CSs should include an executive summary table for the FY in question, and revised LOA (total of ALL years) in an executive summary of the DAP amendment.

B. Progress in Activity Implementation

This section should be complementary to the information provided in the CSR4. Use cross-referencing to eliminate duplication.

1. Follow-up of Current Year's Title II Review/Approval (if applicable)

CSs should respond to the technical and programmatic concerns raised during the previous year in the review/approval of the current program year's program, as detailed in the summary cable to a USAID Mission or REDSO and/or FFP's letter of approval to the CSs. The DAP amendment should provide information on actual or planned implementation of the recommendations made and the resulting budgetary impact. It should also explain any delays in implementing recommendations.

2. Current Year's Activity Completion to Date

CSs should provide a brief summary of current year activity completion to date, highlighting major accomplishments vis-a-vis the current year's Implementation

Plan. The DAP amendment should note whether progress is on track and schedule.

C. Lessons Learned and Proposed Program Changes

Analyze lessons learned during recent activity implementation. Based on recent progress and constraints, CSs should: 1) explain how any modification may affect activity budgets and commodity allocations; 2) note significant changes in your operating environment (e.g., economic, social or political developments) that affected or may continue to affect performance in meeting the objectives, particularly with respect to the required Host Country Food for Peace Program Agreement; 3) update performance tracking table; and 4) describe monitoring and evaluation plan changes.

D. Detailed Implementation Schedule

The CS is asked to submit a revised detailed implementation schedule for each FY of the DAP. (Refer to DAP proposal instructions as needed).

E. Activity Resource Requirements

1. Financial Plan

The DAP amendment should include a revised financial plan, showing detailed information and comprehensive budget updates for the remaining years of the DAP, and the revised LOA total (include years to date, proposed FY and each out-year). It should also include in the budget narrative an explanation of significant line-item deviations from the original budget or changes in funding sources. CSs are requested to maintain consistency in their budget presentations as they move from the proposal to the first CSR4 and from the first CSR4 through all subsequent CSR4s and DAP amendments.

a. Budget Narrative

The CS is asked to provide a narrative to clarify budget line items. If 202(e), monetization, or other funds are expected to be carried over from earlier years, explain why. CSs should elaborate upon any budget line items or funding sources that are not self-explanatory. For additional Section 202(e) instructions, refer to Annex E of these Guidelines.

b. Budget Tables

An updated comprehensive budget for all funding sources is required, along with an itemized detailed budget for each FY and LOA (See proposal instructions as needed.) Refer to the formats in Annex D.

c. Pipeline Analyses

Analysis of monetization and Section 202(e) funds received and expended during the previous period is required to identify anticipated balances available for programming.

2. Commodities

a. Commodity Market Issues: Bellmon Analysis

In the text of the DAP amendment, CSs should note who carried out the Bellmon Analysis and provide a very brief statement regarding the summary conclusions, relevant issues or areas of concern, and plans to ensure they are mitigated or resolved. An updated Bellmon Analysis should be submitted as an Appendix to the DAP amendment if commodity requirements have changed significantly.

b. Annual Estimate of Requirement (AER)

A signed AER in standard format (see Annex C) is required.

A pipeline analysis is provided in the AER. The pipeline analysis will be periodically and jointly evaluated by the CS and FFP with particular emphasis on the previous year's end-of-year Commodity Status Report (CSR).

c. Commodity Procurement Schedule

A commodity procurement schedule for the FY's line 17 tonnage as requested in the AER should be provided. See proposal instructions for further information.

d. Commodity Requirement Worksheet - Life of Activity

The DAP amendment should include a revised life-of-activity Commodity Requirement Worksheet by AER category

e. Monetization Plan

If there are important changes to the monetization plan outlined in the original DAP, the changes should be summarized and a brief discussion provided. A cost recovery estimate calculation is also to be provided. See proposal instructions for further information.

f. Monetization Sales

An analysis of the proposed monetization transaction is required.

F. Waiver Requirements

If the non-American procurement of items is intended, source/origin waiver requests and justifications should be made as part of the DAP proposal. In the case of vehicles, the proposal should state how many non-American vehicles are planned for purchase, from which funding source, and justify fully why non-U.S. procurement is necessary. A copy of the written procurement policy of the relevant Mission should be attached. If a source/origin waiver is requested after the DAP is approved, the process to be followed is described in the Motor Vehicle Procurement section IV.C. of Annex E, Section 202(e) Funding Instructions.

G. Environmental Compliance

Cooperating Sponsors should submit an IEE amendment. See Annex F for further information.

H. Appendices

Attach the documents listed under "Appendices" in the DAP amendment format provided in Annex B, as appropriate. If a document is lengthy, attach a copy only to the primary ("original") unbound copy of the proposal.

Annex A

Proposal Format

ANNEX A

FINAL DRAFT FORMAT

January 25, 2001

Title II Country/Cooperating Sponsor

FY x – FY xx

Development Activity Program

Proposal

Resource Request Summary:

Activity Completion Date: _____

Life of Activity Commodity Requested (MT): _____

Life of Activity Monetization Budget Request (US\$ Equiv.): _____

Live of Activity Section 202(e) Budget Request (US\$): _____

Date of Submission to USAID Mission: _____

Date of Submission to BHR/FFP: _____

CS HQ Contact Name
CS HQ Contact Address
CS HQ Contact Tel.
CS HQ Contact Fax
CS HQ Contact email

CS Country Office Contact Name

CS Country Office Contact Tel
CS Country Office Contact Fax
CS Country Office Contact email

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- H. Commodity Market Issues**
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- J. Waiver Requirements**
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Appendices

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- D. Initial Environmental Examination**
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- H. Mission Vehicle Procurement Policy**

NOTE: CSs are encouraged to use bullet points and charts to present basic information in as concise a manner as possible. Narrative may be reserved for complex discussion.

Country/Cooperating Sponsor FY x – FY xx DAP PROPOSAL

A. Executive Summary Table (one page, plus chart)

Provide a concise summary of the program activities. Also summarize: 1) food security problem to be addressed; 2) strategic objectives and expected results; 3) reason for requesting Title II commodities; 4) resources required and committed, both in-kind and dollars (or dollar equivalent), from all sources; and 5) how the impact will be measured and monitored. Briefly present the history of CS activities in the country or region, including the evolution of the Title II strategy and proposed interventions. If there is an emergency relief context, discuss the transition in terms of linkages between relief and development. Complete the tables below:

Program Component* (tech/AER cat)	No Benef's for FY 1	MT Requested FY 1	MT Requested FY 2	MT Requested FY 3	MT Requested FY 4	MT Requested FY 5	MT Requested LOA

Program Component* (tech/AER cat)	Sec. 202(e) Req FY 1	Sec. 202(e) Req DAP Total	Total Monet (from Comp. Budget) Requested FY 1	Total Monet Budget Request LOA	Non FFP contrib'n (From comp. Budget) LOA

**Note each technical area and the AER categories within, e.g., Health & Nutrition (including water & sanitation) (HN) can include maternal & child health (HN/MCH), (HN/FFW), and related monetization (HN/MON); Agriculture (including natural resource management, irrigation, and water source & management) (AG) can include food for work (AG/FFW), monetization (AG/MON); Education (ED) can include school feeding (ED/SF), pre-school child feeding (ED/PSCF); Humanitarian Assistance (HA) can include (HA/GR), other child feeding (HA/OCF); Micro-finance (MF) can include monetization (MF/MON). Monetization and food for work activities must be allocated to the appropriate technical sector.*

B. Problem Analysis and Proposed Interventions (up to 3 pages)

Where a CS program is integrated with Mission activities and points 1&2 below are covered in the Mission Plan, this plan may simply be referenced.

- 1. Provide a brief description and analysis of the critical food security problems facing the population in the country and the proposed target area. In this analysis, include or reference appropriate data that is available on the degree of food insecurity; major determinants of food insecurity (including infectious or water-borne diseases, geo-climatic conditions, natural resource constraints, political and socio-economic conditions, etc.), and the linkage between these factors.*
- 2. Based on this analysis of food insecurity problems, identify the priority technical and geographic areas where development assistance is needed, and the time line for action. Briefly describe the extent to which problems in these priority areas are addressed by USAID/BHR, Global, Mission,*

Country/Cooperating Sponsor FY x – FY xx DAP PROPOSAL

World Bank, World Food Program, or other development and community organizations. Note which unmet development needs remain.

3. *Among these unmet needs, describe the capacity and relative strengths in your organization for addressing them, technically and geographically. Include a statement regarding the institutional capacity of your organization, and of local partners (if relevant), and the basis upon which this assessment is made.*
4. *Based on the analysis of unmet needs and identification of your organization's relative capacity to address them, briefly identify the technical and geographic areas that this proposed activity plans to address (detailed description should be deferred until section C.2. – below). Reference a country map as Appendix C that clearly defines the area(s) of intervention. Also describe briefly how these would complement current development efforts.*

C. Program Objectives and Design (up to 10 pages)

CSs submitting consolidated proposals may wish to submit one objective per CS program.

C.1. Specific Objectives

Clearly state the objective and any sub-objectives (intermediate results) anticipated over the life of the program. Categorize each program objective and related activities under one of the following technical sectors: (a) health and nutrition; (b) water and sanitation; (c) agriculture, natural resource management and related infrastructure; (d) education; (e) micro-enterprise development; and (f) humanitarian assistance. State the established timeframe for completion.

C.2. Proposed Activities

Describe the type, purpose, location and feasibility of the activities, referring to a country/intervention area map to be included as Appendix C. Relate activities to the specific objectives and technical sectors. State the amount and type of commodity that would be used. Describe and quantify the target population, specify how the Title II food and/or monetization proceeds will be utilized, and justify the size of the ration and the ration mix selected. For direct distribution activities, describe how Title II commodities will directly contribute to the improvement of the food security of the targeted populations.

C.3. Key Assumptions and Risks

Discuss the key or critical assumptions of the planned activity and any risks which may negatively affect expected results. If relevant, include climatic, political or economic instability or potential for other program disruptions. If a monetization component, include potential risks and typical problems associated with commodity trading (i.e., defaults by buyers, commercial sector complaints, fluctuating market prices, and currency devaluation). Briefly describe any contingency plans to mitigate the effect of changes in critical assumptions. If the success of the proposed activities is contingent upon conditions or events outside the CS's control (e.g., host government infrastructure, policy or program shifts of the host government, or material contributions from other organizations), briefly note them. State how they could affect your organization's ability to carry out its proposed activities. Also note how your organization would plan to handle the situation.

C.4. Sustainability Strategy

Identify the exit strategy for Title II assistance. Describe how the activity will promote the financial and/or institutional sustainability of intended results. Discuss how sustainability will be measured, e.g., cost recovery, financial commitment, technical/managerial capacity, community commitment, or the capacity of host country counterparts, government or institutions. If applicable, describe the capacity of host country counterparts to sustain the results of the activities. If the activities are not to be continued, explain why the activity will no longer be required.

C.5. Lessons Learned

State how the activity design incorporates lessons learned, and state the source.

D. Complementarity (up to one page)

Briefly describe how the interventions support or complement host government (national, regional, or local), CS and USAID Mission strategic development objectives. Describe how the Title II activities relate to other investments which have occurred in the same geographic area, either by the host government, other NGOs, USAID or other donors. Note any complementarity between the proposed program and other development activities being undertaken in the country. Indicate where complementary programs are being carried out. State how Title II resources are being integrated with other resources. Describe partnerships and alliances with community and local groups as well as with other CSs.

When collaboration with other CSs is anticipated, describe how resources are to be pooled and describe the relationship and responsibilities among the group. Where a consolidated country program or a consolidated regional program is being presented, discuss the complementarity between the programs.

E. Detailed Implementation Schedule (up to five pages)

Provide a detailed, time-phased implementation schedule for each FY of the DAP. Include a list or chart identifying the following: key activities planned; timing of these activities; person(s) responsible; and the relationship between the planned activities and the strategic objectives, performance indicators, and/or benchmarks established for the activity. Include all training, technical assistance, evaluation, audit, commodity procurement, and other key actions.

F. Audits (up to ½ page)

Provide information regarding the CS' A-133 audit policy/scheduling and other Title II-related audit activities. Discuss how any outstanding audit recommendations will be closed and, as required, incorporated in the activity.

G. Monitoring and Evaluation (up to four pages)**G.1. Monitoring and Evaluation Plan**

Describe the monitoring and evaluation (M&E) plan which will be implemented to measure the performance indicators and report on the degree of achievement of performance targets. State when baselines were or will be carried out, and the general framework for the M&E system. Joint monitoring and evaluation plans are encouraged where more than one CS is engaged in similar activities, and is required where a consolidated proposal is being submitted.

G.2. Performance Indicators and Targets

Complete the performance indicator tracking table below with both annual monitoring and impact indicators and targets. Quantify the current level of each impact indicator, if possible, with primary data (baseline) for the population of interest, or with secondary data that provide a reasonable estimate of the current situation. Include annual targets as appropriate (not applicable as needed) and LOA targets for all performance indicators. The magnitude of change in the performance indicator, the size of the population affected, and the criteria for determining that targets have been achieved, must be clear.

Indicator Performance Tracking Table

Indicator	Base-line	FY "1" Target	FY "1" Achieved	FY "1" % Achieved vs Target	FY "2" Target *	FY "2" Achieved	FY "2" % Achieved vs Target	FY "3" Target *	FY "3" Achieved	FY "3" % Achieved vs Target	LOA Target	LOA Achieved
Component 1 Impact Indicator 1												
Component 1 Impact Indicator 2												
Component 1 Monitoring Indicator 1												
Component 1 Monitoring Indicator 2												
Component 2 Impact Indicator 1												
Component 2 Impact Indicator 2												
Component 2 Monitoring Indicator 1												
Component 2 Monitoring Indicator 2												

* Targets which have been changed since the original approved DAP proposal should be noted with an asterisk

Note: Annual monitoring indicators should be reported on each year. Impact indicators need only be reported on those years determined by the CS as appropriate by the CS's monitoring and evaluation plans. If CSs adjust indicators or targets, for example if they found to be

Country/Cooperating Sponsor FY x – FY xx DAP PROPOSAL

inappropriate, or targets were set too high or low, clear explanation should be provided. Note that explicit FFP Approval is required for downward revision.

H. Commodity Market Issues (up to one page)

H.1. Bellmon Analysis

State who carried out the Bellmon analysis and provide a very brief statement regarding the summary conclusions, relevant issues or areas of concern, and plans to ensure they are mitigated or resolved. Attach a copy of the analysis as Appendix G.

H.2. Usual Marketing Requirements

Address any issues here.

I. Activity Resource Requirements (up to five pages)

I.1. Commodities

Note: Programs in a single country should submit a single AER, commodity procurement schedule, life-of-activity commodity requirement worksheet, and supplementary commodity chart. Consolidated regional program proposals should include an AER for each country, and reflect individual country data, as well as a consolidated total on the remaining charts.

I.1.a. Annual Estimate of Requirements

Attach as Appendix A the signed AER form for the first FY of the DAP. Ensure that pack size and commodity type are specifically noted on the AER.

I.1.b. Commodity Requirement Worksheet for LOA

Complete a table in the format shown below (add/delete categories, rows as needed) – included sectors/categories/commodities below are EXAMPLES:

Technical Sectors	AER Category	Commodity	FY x	FY x+1	FY x+2	FY x+3	FY x+4	Total LOA
Health & Nutrition	MCH	CSB						
		NFDM						
	FFW	Wheat Flour						
		Veg Oil – 4L						
	Monet	Veg Oil 28 L						
	Subtotal							
Education	SF	Bulgur						
		Lentils						
	Monet	Veg oil 28 L						
	Subtotal							
Grand Total								

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LOA= Life of Activity (DAP). See Technical Sector/AER categories definitions under A on page iii of this format.

I.1.c. Commodity Procurement Schedule

Complete the table below. Identify months that commodity shipments are desired to be at U.S. Port.

Call Forward Tonnage (MT)						
	Use "at U.S. Port" dates:	Month 1 (MT)	Month 2 (MT)	Month 3 (MT)	Month 4 (MT)	Total (MT)
AER category	Commodity					
1.	a.					
	b.					
	c.					
	d.					
Total category						
2.	a.					
	b.					
	c.					
	d.					
Total category						
3.	a.					
	b.					
	c.					
	d.					
Total category						
GRAND TOTAL						

Note: "At U.S. Port" date is normally 2 months after call forward submission, **unless** a later "at U.S. Port" date is specifically requested.

I.1.d. Monetization Plan

Include a monetization plan as outlined in the relevant sections of the Title II Monetization Field Manual, referring to the monetization criteria and FFP monetization policies. Provide full justification for the monetization and describe the proposed mechanics of the monetization (type of sale, type of buyer, anticipated commodities, whether sale will be conducted with other CSs, etc.). Provide a separate monetization sales budget and cost recovery estimate. Discuss sales proceeds management, including "maintenance of value" issues, and the vehicle procurement plan (if applicable).

Anticipated Monetization Cost Recovery Calculation and Estimate

Discuss anticipated cost recovery for the first FY of the program. Compare against actual cost recovery achieved in prior year (if a follow-on DAP). Justify the monetization on the basis of the amount of funding to be made available for programming as compared to the costs incurred in carrying out the monetization. If the revenues generated by the sale are expected to be less than the cost recovery benchmark, the difference must be justified on

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the basis of food security impacts. Discuss how previously encountered problems will be avoided or mitigated.

Anticipated Cost Recovery Benchmark:

Commodity:	Call fwd 1	Call fwd 2	Call fwd 3	Total or Weighted Average, as appropriate
1. Estimated sale date				
1. Tonnage to be called forward for monet. (MT)				
2. CS estimated FAS cost (total \$/MT)				
3. Freight estimate (foreign flag)* (\$/MT)				
4. C&F total cost est. using foreign flag (\$/MT)				
5. 80% of C&F cost estimate above (\$/MT) (80% of Line 4)				
6. Estimated benchmark price (\$/MT) (Line 2 or 5, whichever is greater)				
7. Anticipated sales price (\$/MT)				

Note: Use exchange rate applicable at time of estimate

Note: FAS = Free along side, C&F = Commodity & Freight

I.1.e. Logistics Plan

Discuss any commodity related issues, including port facility, storage infrastructure, port management capabilities, transport status, and commodity pipeline. For landlocked countries, note the points of entry (limited to four) for FFP review and approval. For special procurement or shipping requests, such as containerization or through bills of lading for non-landlocked countries, a detailed justification must be attached. If reimbursement for inland transport charges will be requested, attach a copy of the contract covering transport for the first FY of the DAP, and an estimate of total US dollars needed for inland transport. If not yet available, state when this will be submitted to FFP.

I.2. Financial Plan

I.2.a. Budget Narrative

Explain how the financial requirements (in-kind, dollars, foreign/local currency for the life of the DP will be met. If 202(e), monetization, or other funds are expected to be carried over from the previous FY(s), explain why. Provide a budget narrative(s) to cover monetization and Section 202(e) funds. Describe any budget line items or funding sources that are not self-explanatory.

I.2.b. Budgets

Attach as Appendix B.1. the comprehensive budget format summarized by technical area for each year and total life-of-activity.

Attach as Appendix B.2. detailed monetization budgets for each year, based on line item categories (e.g., salaries, transportation, capital equipment, etc.).

I.2.c. Overhead Rate

Attach as Appendix B.3. a copy of the latest approved negotiated indirect cost rate agreement (NICRA). For a CS that does not have a provisional or final approved federal rate, submit supporting documentation in the calculation of the CS's indirect overhead rate.

I.3. Human Resources

Provide a one-page organizational chart identifying position titles of CS staff and the amount of time that will be devoted to each proposed activity and corresponding responsibilities. List the recipient agencies (counterpart and/or collaborating organizations, both private and host government). If not described in the complementarity section of the original proposal, briefly outline their financial and management roles. If extensive technical assistance is being planned, explain the scope of the activity and the individual or organization responsible.

J. Waiver Requirements

If procurement of non-American equipment or vehicles is intended, state the source and/or origin waiver request and provide a justification. For vehicles, state how many non-American vehicles are planned for purchase, from which funding source, and justify fully the proposed purchases and the funding source. Attach as Appendix G a copy of the written USAID Mission procurement policy.

K. Initial Environmental Examination

Attach as Appendix D an Initial Environmental Evaluation cleared by the USAID Mission Director or his/her designee.

L. Certification Regarding Lobbying

Lobbying certification is required; complete appropriate sections of Appendix E

M. Agreements, Contracts, Letters

Attach as Appendix F a copy of the host country Food for Peace Agreement, memoranda of understanding, inland contracts, letters of support or agreements with relevant parties as appropriate. If a document is lengthy, attach a copy only to the primary ("original") unbound copy of the proposal. Explain below if a host country agreement is not yet signed, and provide a timetable for submission. Identify any additional agreements planned but not yet executed.

Appendix A

Annual Estimate of Requirements

Insert signed AER here

Appendix B

Budgets

*Insert here the comprehensive budget (for each FY and Life-of-DAP)
as well as detailed budget for each FY of DAP, and a copy of the NICRA.*

Appendix C

Country/Intervention Area Map

(Insert map(s) here)

Appendix D

Initial Environmental Examination

(Insert IEE here)

Appendix E

Certification Regarding Lobbying Form

Authority and Statutory Lobbying Restrictions

CSs are reminded that statutory lobbying restrictions and reporting requirements apply to Title II donations to CSs. The requirements of 31 U.S.C. 1352 are that no appropriated funds can be used to influence or attempt to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress to receive a federal contract, grant, cooperative agreement or a commitment providing for the United States to insure or guarantee a loan. CSs are required to submit a Certification Regarding Lobbying form with each annual submission (OP, DAP Amendment, CSR4s) to certify compliance with these requirements.

Furthermore, if any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Title II award, a Disclosure Form to Report Lobbying should be completed and submitted. The Inspector General is required by law to evaluate annually and report on compliance. USAID regulations concerning implementation of lobbying restrictions are in 22 CFR 227, which appears in the Automated Directives System (ADS) 200.

Certification Regarding Lobbying Form

Submitted in connection with submission of proposal initiating USAID/BHR/FFP consideration of P.L. 480 Title II grant request including any or all of the following: commodities; ocean freight; inland freight; internal transportation; storage and handling; Section 202(e); Institutional Support.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, 'Disclosure of Lobbying Activities,' in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. By signature hereon, the applicant/grantee certifies that the information contained herein is accurate, current, and complete to the best of its knowledge and belief, and that the applicant/grantee is aware of the penalty prescribed in 18 U.S.C. 1001 for making false statements in applications or proposals.

Signature:

Typed Name:

Organization:

Title:

Date:

Country/Cooperating Sponsor FY x – FY xx DAP PROPOSAL

If applicable, complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

- | | | |
|--|---|---|
| <p>1. Type of Federal Action:
___ a. contract
___ b. grant
___ c. cooperative agreement
___ d. loan
___ e. loan guarantee
___ f. loan insurance</p> | <p>2. Status of Federal Action:
a. bid/offer/application
b. initial award
c. post-award</p> | <p>3. Report Type:
a. Initial filing
b. Material change

For Material Change Only:
Year ____ quarter ____
Date of last report ____</p> |
| <p>4. Name and Address of Reporting Entity:
___ Prime
___ Subawardee
Tier ____ if known:
Congressional District, if known:</p> | <p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and address of Prime:

Congressional District, if known:</p> | <p>6. Federal Department/Agency</p> |
| <p>7. Federal Program Name/Description:
CFDA Number, if applicable:
_____</p> | <p>8. Federal Action Number, if known:</p> | <p>9. Award amount, if known:
\$ _____</p> |
| <p>10. a. Name and Address of Lobbying Entity
(If individual, last name, first name, MI):
(attach Continuation Sheet(s) SF-LLL-A, if necessary)
b. Individuals Performing Services
(including address if different from No. 10a)
(Last name, first, MI):</p> | <p>11. Amount of Payment: (check all that applies):
___ actual
___ planned
\$ _____</p> | <p>12. Form of Payment (check all that applies):
___ a. cash
___ b. in-kind; specify:
nature _____
value _____</p> |
| <p>13. Type of Payment:
(check all that apply):
a. Retainer
b. one-time fee
c. commission
d. contingent fee
e. deferred
f. other: _____</p> | <p>14. Continuous Sheet(s) SF-LLL-A attached
___ yes ___ no</p> | <p>15. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier shown when this transaction was made of xxxxx lobby. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file this required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p> |

Signature _____

Print Name _____

Title _____

Telephone No. _____ Date _____

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DISCLOSURE OF LOBBYING ACTIVITIES CONTINUATION SHEET

0348-0046

Reporting Entity:
Page ____ of ____

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Annex B

DAP Amendment Format

ANNEX B

FINAL DRAFT FORMAT

February 8, 2001

Title II

Country/Cooperating Sponsor

FY x – FY xx

Development Activity Program

Amendment

Resource Request Summary:

Activity Completion Date: _____

Additional New Life of Activity (LOA) Commodity Requested (MT): _____

Revised Total LOA Commodity Requested (MT): _____

Additional New LOA Monetization Budget Request (US\$ Equiv.): _____

Revised Total LOA Monetization Budget Request (US\$ Equiv.): _____

Additional New LOA Section 202(e) Budget Request (US\$): _____

Revised Total LOA Section 202(e) Budget Request (US\$): _____

Date of Submission to USAID Mission: _____

Date of Submission to BHR/FFP: _____

CS HQ Contact Name
CS HQ Contact Address
CS HQ Contact Tel.
CS HQ Contact Fax
CS HQ Contact email

CS Country Office Contact Name

CS Country Office Contact Tel
CS Country Office Contact Fax
CS Country Office Contact email

Table of Contents

- A. Executive Summary**
- B. Progress in Activity Implementation**
- C. Lessons Learned and Proposed Program Changes**
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- E. Activity Resource Requirements**
- F. Waiver Requirements**
- G. Environmental Compliance**

Appendices

- A. Annual Estimate of Requirements (Commodities)**
- B. Budgets**
- C. Country/Intervention Area Map**
- D. Environmental Compliance Documentation**
- E. Certification Regarding Lobbying**
- F. Bellmon Analysis**
- G. USAID Mission Vehicle Procurement Policy**

FISCAL YEAR X DAP AMENDMENT

NOTE: CSs are encouraged to use bullet points and charts to present basic information in as concise a manner as possible (rows may be added/deleted as appropriate). Narrative may be reserved for complex discussion.

A. Executive Summary**FY Request Summary Table**

Program Component* (technical/AER categories)	No. Benes.	Approved DAP Level (MT) for FY	DAP Amend Resource Request Level (MT) for FY	Approved DAP 202e (\$) for FY	DAP Amend Resource Request 202e (\$) for FY	DAP Amend Monetization (\$) from comprehensive budget	DAP Amend Non-FFP contrib'n (\$) from comp. Budget
TOTAL							

**Note each technical area and the AER categories within, e.g., Health & Nutrition (including water & sanitation) (HN) can include maternal & child health (HN/MCH), (HN/FFW), and related monetization (HN/MON); Agriculture (including natural resource management, irrigation, and water source & management) (AG) can include food for work (AG/FFW), monetization (AG/MON); Education (ED) can include school feeding (ED/SF), pre-school child feeding (ED/PSCF); Humanitarian Assistance (HA) can include (HA/GR), other child feeding (HA/OCF); Micro-finance (MF) can include monetization (MF/MON). Monetization and food for work activities must be allocated to the appropriate technical sector.*

LOA Request Summary Table

	(MT) Direct Distribution	(MT) Monetization	(MT) Total Tonnage	(\$ equiv) Monetization Budget	(\$) Section 202(e)
Total Approved for Program (LOA per TA*)					
FY 1 Approved (line 17)					
FY 2 Approved (line 17)					
FY 3 Approved (line 17)					
FY 4 Approved (line 17)					
Total Approval to Date					
Balance for Current and Subsequent Years					
FY Requested (line 17)					

FY 3 Estimated (line 8)					
FY 4 Estimated (line 8)					
FY 5 Estimated (line 8)					
Total FY Requested & Out-Years					
Total Revised LOA (all years)					

* Transfer authorization (program approval documents – original TA or TA modifications)

B. Progress in Activity Implementation

Briefly assess progress to date and/or results achieved, referring to the CSR4 and progress made in the current FY. Summarize describe the activities and focus of the program for the fiscal year and remaining out-years, highlighting the deviation from the plan as presented in the original DAP proposal. Provide a rationale for the changes proposed. Refer to rationale section of proposal guidance/format, where applicable.

C. Lessons Learned and Proposed Program Changes

C.1. Lessons Learned

Analyze the lessons learned or other basis for proposed program changes.

C.2. Proposed Program Changes

Note any changes in the objective and any sub-objectives (intermediate results) anticipated over the life of the program. State the established timeframe for completion.

If the change is radical (a new or wholly different component); describe the type, purpose, location and feasibility of the intervention, and the amount and type of commodity that would be used. Describe and quantify the target population, specify how the Title II food and/or monetization proceeds will be utilized, and justify the size of the ration and the ration mix selected. For direct distribution activities, describe how Title II commodities will directly contribute to the improvement of the food security of the targeted populations. Address technical questions related to the type of activity (e.g., health/nutrition, water & sanitation, agriculture, etc.).

C.3. Key Assumptions

If the change is radical; discuss the key or critical assumptions of the planned activity and any risks which may negatively affect expected results. See the DAP proposal guidelines/format for more information, if relevant.

C.4. Performance Indicators and Targets

Update the Indicator Performance Tracking Table below to show reflect proposed changes to indicators and targets. Delete or add columns as needed – 5-year activities should provide indicators/targets for all 5 years, and achievements for years to date:

Indicator Performance Tracking Table

Indicator	Base-line	FY ? 1" Target	FY ? 1" Achieved	FY ? 1" % Achieved vs Target	FY ? 2" Target *	FY ? 2" Achieved	FY ? 2" % Achieved vs Target	FY ? 3" Target *	FY ? 3" Achieved	FY ? 3" % Achieved vs Target	LOA Target	LOA Achieved
Component 1 Impact Indicator 1												
Component 1 Impact Indicator 2												
Component 1 Monitoring Indicator 1												
Component 1 Monitoring Indicator 2												
Component 2 Impact Indicator 1												
Component 2 Impact Indicator 2												
Component 2 Monitoring Indicator 1												
Component 2 Monitoring Indicator 2												

* Targets which have been changed since the original proposal was approved, should be noted with an asterisk

Note: Annual monitoring indicators should be reported on each year. Impact indicators need only be reported on those years determined by the CS as appropriate by the CS's monitoring and evaluation plans. CSs may adjust indicators or targets as needed in a DAP Amendment, and over the life of the DAP, for example if they found to be inappropriate or targets set too high or low, although clear explanation should be provided.

C.5. Monitoring and Evaluation Plan

Describe any anticipated changes to the monitoring and evaluation (M&E) plan.

D. Implementation Schedule

Provide a revised detailed, time-phased implementation schedule for all FYs of the DAP, using the same format as previously submitted.

E. Activity Resource Requirements

D.1. Financial Plan

D.1.a. Budget Narrative

CSs are requested to maintain consistency in budget presentation as they move from the proposal to the first CSR4 and from the first CSR4 through all subsequent CSR4s and DAP amendments. Provide narrative to accompany budget and explain deviation from those approved in the TA. Highlight budget line item changes that are greater than 5% as approved in the TA for that FY. Show by comparison the changes that will result in a cumulative increase of 10% for the technical sector over the life of the DAP.

D.1.b. Budget Tables

Attach as Appendix B.1. the revised comprehensive budget (format provided by FFP) by technical sector, for each FY and revised total life-of-activity (including years to date).

Attach as Appendix B.2. the revised detailed monetization budget for each year, based on line item categories, if applicable.

If requesting Section 202(e) funds, refer to the instructions in Annex E of the Guidelines, provide a narrative to clarify 202(e) funded budget line-items. Provide 202(e) budget as part of comprehensive budget in Appendix B.

D.1.c. Pipeline Analyses

D.1.c.1) Monetization – Local Currency Carry-in

Provide the monetization (foreign currency) pipeline analysis below. “x” is the year of the results report being submitted. The closing monetization balance for 9/30/X+1 (below) should be shown in the comprehensive budget for FY x+2 as an opening balance.

	Foreign currency	Exchange rate	US Dollar equivalent
1. Opening balance at 10/1/x of funds from prior year(s) monetization, including interest			
2. Total actual and anticipated funds to be received from monetization during FY x+1			
a. FY x (prior year) approved commodities:			

b. FY x+1 (this year) approved commodities:			
3. Interest earned and anticipated in FY x+1			
4. Total expenditure (actual to date + estimated) of monetization funds during FY x+1			
5. Anticipated closing balance of monetization funds at 9/30/x+1 [lines (1+2a+2b+3)-4]			
6. Amount of reserve/bridge funding needed to support program operations until FY x+2 monetization sale(s).			

Monetization LOA Analysis Table

Complete the following table for each FY of the DAP (if information not yet available, e.g., when making a third year request, for the actual expenditures for years 2,3,4 & 5, note "not available") :

	FY a	FY b	FY c	FY d	FY e	TOTAL
Prev Approv Monetization						
Actual Monet Proceeds						
Actual Monet Expenditure						
Current Monet Request						

D.1.c.2) Section 202(e) US Dollar Carry-in

Provide Section 202(e) pipeline analysis below. "x" is the year of the results report being submitted. The closing monetization balance for 9/30/X+1 (below) should be shown in the comprehensive budget for FY x+2 as an opening balance.

1. Opening balance of funds from prior year (FY x) Section 202(e) funds	
2. Amount approved for FY x+1	
3. Actual expenditures *	
4. Projected expenditures*	
5. Total actual plus projected expenditures (lines 3+4)	
6. Estimated pipeline (closing balance) at 9/30/x+1 [lines 1+2-5]	

Section 202(e) LOA Analysis Table

Complete the following table for each FY of the DAP (if information not yet available, e.g., when making a third year request, for the actual expenditures for years 2,3,4 & 5, note "not available") :

	FY a	FY b	FY c	FY d	FY e	TOTAL
Prev Approv Sec 202(e) Budget						
Prev Approv Sec 202(e) Funding						
Actual Sec 202(e) Expenditure						
Current Sec 202(e) Budget Request						

D.1.c.3) Monetization Cost Recovery Calculation and Estimate

If cost recovery projections laid out in the CSR4 need revision, discuss anticipated cost recovery for the coming year of the program. Compare against actual cost recovery achieved in prior year.. Justify the monetization on the basis of the amount of funding to be made available for programming as compared to the costs incurred in carrying out the monetization. If the revenues generated by the sale are expected to be less than the cost recovery benchmark, the difference must be justified on the basis of food security impacts. Discuss how previously encountered problems will be avoided or mitigated.

Anticipated Cost Recovery Benchmark:

Commodity:	Call fwd 1	Call fwd 2	Call fwd 3	Total or Weighted Average, as appropriate
1. Estimated sale date				
1. Tonnage to be called forward for monet. (MT)				
2. CS estimated FAS cost (total \$/MT)				
3. Freight estimate (foreign flag)* (\$/MT)				
4. C&F total cost est. using foreign flag (\$/MT)				
5. 80% of C&F cost estimate above (\$/MT) (80% of Line 4)				
6. Estimated benchmark price (\$/MT) (Line 2 or 5, whichever is greater)				
7. Anticipated sales price (\$/MT)				

Note: Use exchange rate applicable at time of estimate.

D.2. Commodities**D.2.a. Commodity Market Issues: Bellmon Analysis**

State whether the proposed changes will impact the Bellmon analysis. State who carried out this year's Bellmon analysis and provide a very brief statement regarding the summary conclusions, relevant issues or areas of concern, and plans to ensure they are mitigated or resolved. Attach a copy of the analysis as Appendix F.

D.2.b. Annual Estimate of Requirements (AER)

Provide any needed explanation, for example if AER differs from LOA levels approved for the program. Attach a signed FY x+2 AER as Appendix A.

D.2.c. Commodity Procurement Schedule

Complete the table below. Identify months that commodity shipments are desired to be at U.S. Port.

Call Forward Tonnage (MT)						
	Use "at U.S. Port" dates:	Month 1 (MT)	Month 2 (MT)	Month 3 (MT)	Month 4 (MT)	Total (MT)
AER category	Commodity					
1.	a.					
	b.					
	c.					
	d.					
Total category						
2.	a.					
	b.					
	c.					
	d.					
Total category						
3.	a.					
	b.					
	c.					
	d.					
Total category						
GRAND TOTAL						

*Note: "At U.S. Port" date is normally 2 months after call forward submission, **unless** a later "at U.S. Port" date is specifically requested.*

D.2.d. Commodity Requirement Worksheet – Life of Activity

Complete a table in the format shown below (add/delete categories, rows as needed) – included sectors/categories/commodities are *EXAMPLES*:

Technical Sectors	AER Category	Commodity	FY x	FY x+1	FY x+2	FY x+3	FY x+4	Total LOA
Health & Nutrition	MCH	CSB						
		NFDM						
	FFW	Wheat Flour						
		Veg Oil – 4L						
	Monet	Veg Oil 28 L						
	Subtotal							
Education	SF	Bulgur						
		Lentils						
	Monet	Veg oil 28 L						
	Subtotal							
Grand Total								

See Technical/AER category definitions in Section A on page iii of this format.

D.2.e. Monetization Plan

Discuss any changes to the monetization plan.

D.2.f. Monetization Sales

Provide an analysis of planned monetization transactions (see proposal guidelines/format) and use of monetization proceeds.

F. Waiver Requirements

If procurement of non-American equipment or vehicles is intended, state the source and/or origin waiver request and provide a justification. For vehicles, state how many non-American vehicles are planned for purchase, from which funding source, and justify fully the proposed purchases and the funding source. Attach as Appendix G a copy of the written USAID Mission procurement policy.

G. Environmental Compliance

Attach as Appendix D an ESR or IEE update, as appropriate, cleared by the USAID Mission Director or his/her designee.

Appendix A

AER Standard Format

(insert page 1&2)

Note whether AER is supplementary to or in replacement of the AER submitted with the CSR4.

Appendix B

Budget Formats

[Insert a revised comparative comprehensive and revised detailed budgets for all FYs and LOA.]

Appendix C

Country/Intervention Area Map

[Insert updated map]

Appendix D

Environmental Compliance Documentation

(insert ESR or IEE update here)

Appendix E

Certification Regarding Lobbying Form

Submitted in connection with submission of proposal initiating USAID/BHR/FFP consideration of P.L. 480 Title II grant request including any or all of the following: commodities; ocean freight; inland freight; internal transportation; storage and handling; Section 202(e); Institutional Support.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, 'Disclosure of Lobbying Activities,' in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. By signature hereon, the applicant/grantee certifies that the information contained herein is accurate, current, and complete to the best of its knowledge and belief, and that the applicant/grantee is aware of the penalty prescribed in 18 U.S.C. 1001 for making false statements in applications or proposals.

Signature:

Typed Name :

Organization:

Title:

Date:

If applicable, complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action:
___ a. contract
___ b. grant
___ c. cooperative agreement
___ d. loan
___ e. loan guarantee
___ f. loan insurance
2. Status of Federal Action:
a. bid/offer/application
b. initial award
c. post-award
3. Report Type:
a. Initial filing
b. Material change

For Material Change Only:
Year ___ quarter ___
Date of last report _____
4. Name and Address of Reporting Entity:
___ Prime
___ Subawardee
Tier ___ if known:
Congressional District, if known: _____
5. If Reporting Entity in No. 4 is Subawardee, Enter Name and address of Prime:

Congressional District, if known: _____
6. Federal Department/Agency _____
7. Federal Program Name/Description:
CFDA Number, if applicable: _____
8. Federal Action Number, if known: _____
9. Award amount, if known:
\$ _____
10. a. Name and Address of Lobbying Entity
(If individual, last name, first name, MI):
(attach Continuation Sheet(s) SF-LLL-A, if necessary)
b. Individuals Performing Services
(including address if different from No. 10a)
(Last name, first, MI): _____
11. Amount of Payment: (check all that applies):
___ actual
___ planned
\$ _____
12. Form of Payment (check all that applies):
___ a. cash
___ b. in-kind; specify:
nature _____
value _____
13. Type of Payment: (check all that apply):
a. Retainer
b. one-time fee
c. commission
d. contingent fee
e. deferred
f. other: _____
14. Continuous Sheet(s) SF-LLL-A attached
___ yes ___ no
15. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier shown when this transaction was made of xxxxx lobby. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file this required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature _____

Print Name _____

Title _____

Telephone No. _____ Date _____

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DISCLOSURE OF LOBBYING ACTIVITIES CONTINUATION SHEET

0348-0046

Reporting Entity:

Page ____ of ____

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Annex C

AER Format

(available as Excel spreadsheet only)

Annex D

Budget Formats

Comprehensive Budget Sample Format (US\$) for DAPs

ANNEX D

Note 1. Insert budgets for all fiscal years (FY) as needed

Note 2. Delete columns for funding sources not applicable

	Monetiz'n Proceeds Requested year 1	Section 202(e) Grant Requested year 1	Recipient Contrib'n Requested year 1	PVO Contrib'n Requested year 1	USAID Mission Requested year 1	Local Gov't Requested year 1	Total Requested year 1
FY (year 1) Opening Balance							
FY (year 1) Income-new funds							
FY (year 1) Income-interest							
Total FY (year1) income							
Funds available in FY (year 1)							
Expenses:							
Health & Nutrition							
Water & Sanitation							
Agriculture & Infrastructure							
Education							
Micro-finance							
Humanitarian Assistance							
Subtotal							
NICRA							
FY (year 1) Total Expenses							
FY (year 1) Closing Balance							

	Monetiz'n Proceeds Requested year 2	Section 202(e) Grant Requested year 2	Recipient Contrib'n Requested year 2	PVO Contrib'n Requested year 2	USAID Mission Requested year 2	Local Gov't Requested year 2	Total Requested year 2
FY (year 2) Opening Balance							
FY (year 2) Income-new funds							
FY (year 2) Income-interest							
Total FY (year 2) income							
Funds available in FY (year 2)							
Expenses:							
Health & Nutrition							
Water & Sanitation							
Agriculture & Infrastructure							
Education							
Micro-finance							
Humanitarian Assistance							
Subtotal							
NICRA							
FY (year 2) Total Expenses							
FY (year 2) Closing Balance							

	Monetiz'n Proceeds Requested full LOA	Section 202(e) Grant Requested full LOA	Recipient Contrib'n Requested full LOA	PVO Contrib'n Requested full LOA	USAID Mission Requested full LOA	Local Gov't Requested full LOA	Total Requested full LOA
FY (year 1) Opening Balance							
LOA Income-new funds							
LOA Income-interest							
Total LOA income							
Funds available over LOA							
Expenses:							
Health & Nutrition							
Water & Sanitation							
Agriculture & Infrastructure							
Education							
Micro-finance							
Humanitarian Assistance							
Subtotal							
NICRA							
LOA Total Expenses							
LOA Closing Balance							

SALARY INFLATION		1.030		1.092		1.157			
OTHER INFLATION				1.050		1.103			
Annex D									
The following sample detailed budget is intended to show the level of detail expected; not the range of line items typical of a Title II program.									
BUDGET PREPARATION DATE:									
		2000		2001		2002		TOTAL	
SALARIES & FRINGE	Daily Rate	Days		Days		Days			
Country Director	444	6.0	2,741	4.0	1,937	4.0	2,053	14.0	6,731
Deputy Director	370	6.0	2,288	6.0	2,425	6.0	2,570	18.0	7,283
Project Manager	322	89.0	29,511	89.0	31,281	89.0	33,158	267.0	93,950
Procurement Officer	239	20.0	4,929	20.0	5,225	10.0	2,769	50.0	12,923
Program Officer	186	85.0	16,323	85.0	17,302	85.0	18,341	255.0	51,966
MCH Program Officer	171	85.0	14,996	85.0	15,896	85.0	16,850	255.0	47,742
Environmental Specialist	186	25.0	4,788	25.0	5,075	20.0	4,303	70.0	14,166
Project Administrator	165	100.0	17,037	100.0	18,059	100.0	19,142	300.0	54,238
Program Support	112	303.0	35,062	303.0	37,166	303.0	39,396	909.0	111,624
Driver	149	5.0	768	5.0	814	5.0	862	15.0	2,444
Total salaries		724	128,443	722	135,180	707	139,444	2,153	403,067
Staff leave @	18.5%		23,762		25,008		25,797		74,567
Total salaries & leave			152,205		160,188		165,241		477,634
Fringe benefits @	30.5%		46,423		48,857		50,399		145,678
TOTAL SALARIES & FRINGE			198,627		209,046		215,640		623,313
DBA INSURANCE		# days							
		0.0		0.0		0.0		0.0	0
		0.0		0.0		0.0		0.0	0
	\$Total								
	per day	#		#		#			
CONSULTANTS									
Environmental Specialist	479	0.0	0	10.0	5,030	10.0	5,281	20.0	10,311
Monitoring and Evaluation	350	15.0	5,250	20.0	7,350	10.0	3,859	45.0	16,459
Monetization Consultant	144	36.0	5,184	0.0	0	36.0	5,715	72.0	10,899
Mid-term Evaluation Consult	200	0.0	0	10.0	2,100	0.0	0	10.0	2,100
TOTAL CONSULTANTS		51	10,434	40	14,480	56	14,855	147	39,769
CONTRACTED SERVICES									
Mass Media							7,000		7,000
Dubbing of Videos			500				500		1,000
TOTAL CONTRACTED SERVICES			500		0		7,500		8,000
SUBAGREEMENTS									
Women's Health and Family Planning Four			20,530		22,583		24,841		67,954
Additional subagreements to be determined			5,000		8,000		9,046		22,046
TOTAL SUBAGREEMENTS			25,530		30,583		33,887		90,000
TRAVEL & PER DIEM									
International Travel	\$	#		#		#			
RT - Washington/XXXXX	3,800	20	76,000	18	71,820	18	75,411	56	223,231
RT - Washington/XXXXX	2,100	9	18,900	0	0	9	20,837	18	39,737
Local Travel -			15,000		20,000		15,000	0	50,000
Domestic Travel	5,000	10	50,000	10	50,000	10	50,000	30	150,000
RT - Washington/Atlanta	1,000	3	3,000	2	2,100	3	3,308	8	8,408
Ground transportation	75	32	2,400	20	1,575	30	2,481	82	6,456
Total travel			165,300		145,495		167,037		477,832
Per diem	\$	#		#		#			
Lusaka (12 day trips)	223	240	53,520	216	50,576	216	53,105	672	157,201
Atlanta/Avg. (14 day trips)	125	126	15,750	0	0	126	17,364	252	33,114
D.C.	151	9	1,359	6	951	9	1,498	24	3,808
En route	38	29	1,102	18	718	27	1,131	74	2,951
Total per diem			71,731		52,245		73,098		197,074
TOTAL TRAVEL & PER DIEM			237,031		197,740		240,135		674,906
Expatriate Allowances									
Travel to relocate project manager/family (R & R /family)			6,000				6,600		12,600
Housing Allow (discounted 25% for co-fund)			9,000		9,450		9,900		28,350
Temporary lod (30 days Yr I, 15 days Yr II x \$223 per day)			6,690				3,688		10,378
Shipping household (max. 9,000 lb.)			13,000				14,300		27,300
TOTAL Expatriate Allowances			34,690		14,450		34,488		83,628
SUBCONTRACTS									
TOTAL SUBCONTRACTS			0		0		0		0
Subcontract indirect base -->			0		0		0		0
PROCUREMENT									
TOTAL PROCUREMENT			0		0		0		0
WORKSHOPS									
Training Workshops - Local			17,000		9,000		5,000		31,000
Training Workshops - U.S.			6,000				6,000		12,000
TOTAL WORKSHOPS			23,000		9,000		11,000		43,000
LOCAL OFFICE OPERATING COSTS									
Office operating costs									
@ \$13,000 per month + 10% increase for inflation in			156,000		171,600		188,760		516,360
TOTAL OFFICE OPERATING COSTS			156,000		171,600		188,760		516,360
Supplies									
Models (9 @ \$150 ea.)			1,350						1,350
Videos (5 @ \$100 ea.)			500		0		0		500
TOTAL Supplies			1,850		0		0		1,850
OTHER DIRECT COSTS									
Vehicles			15,000		15,000		0		30,000
Medex Ins - 2 staff			240		252		264		756
Visas/ Immunizations			2,400		2,268		2,381		7,049
Printing Materials			5,000		10,000		15,000		30,000
Copying & duplicating			5,681		6,314		6,601		18,596
Telephone, fax, telex			14,202		15,784		16,504		46,490
Postage			5,681		6,314		6,601		18,596
Supplies & materials			2,840		3,157		3,301		9,298
Rent			51,590		56,470		58,833		166,893
TOTAL OTHER DIRECT COSTS			102,634		115,559		109,485		327,678
TOTAL DIRECT COSTS			790,297		762,458		855,749		2,408,504
Indirect base -->			790,297		762,458		855,749		2,408,504
INDIRECT COSTS @ 12%	12.0%		94,836		91,495		102,690		289,020
TOTAL COSTS			885,132		853,953		958,439		2,697,524

Annex E

Section 202(e) Funding Instructions

I. Purpose

The purpose of Section 202(e) of P.L. 480 is to provide direct financial assistance to eligible organizations to cover certain specific costs associated with their efforts to effectively carry out Title II activities.

More specifically, Section 202(e) funding assists eligible organizations in establishing new non-emergency or emergency (including transition) activities under Title II and in meeting specific administrative, management, personnel and internal transportation and distribution costs for carrying out Title II non-emergency or emergency (including transition) activities.

II. Priority and Eligible Uses

Support of direct distribution activities is a priority use of Section 202(e) funding.

Eligible uses for Section 202(e) funding include:

- A. Direct program costs of a Title II program (e.g., administrative, management, personnel, internal transport, distribution, and storage program implementation costs), only after other sources of funding have been considered and are found inadequate for program operation
- B. Efforts to improve the impact of food aid in addressing food security (e.g., baseline studies, technical assistance, monitoring and evaluation, training)
- C. Improvement and strengthening of program administration and management oversight and monitoring
- D. Dollar costs of development activities partially financed by Title II monetized proceeds.
- E. Costs of implementing audit and evaluation recommendations.

Section 202(e) funds shall only cover those costs/activities that require dollar funding. Section 202(e) funds will not be approved for costs that can be covered by foreign currency.

Note: Please see "IV. Proposal Submission" section for specific Section 202(e) parameters.

Comprehensive Comparative Budget Sample Format (US\$) for DAP Amendments

ANNEX D

	Monetiz'n Proceeds Prev. Appr. year 1	Monetiz'n Proceeds Requested year 1	Section 202(e)Grant Prev.Appr. year 1	Section 202(e) Grant Requested year 1	Recipient Contrib'n Prev. Appr. year 1	Recipient Contrib'n Requested year 1	PVO Contrib'n Prev. Appr. year 1	PVO Contrib'n Requested year 1	USAID Mission Prev. Appr. year 1	USAID Mission Requested year 1	Local Gov't Prev. Appr. year 1	Local Gov't Requested year 1	Total Prev. Appr. year 1	Total Requested year 1
FY (year 1) Opening Balance														
FY (year 1) Income-new funds														
FY (year 1) Income-interest														
Total FY (year1) income														
Funds available in FY (year 1)														
Expenses:														
Health & Nutrition														
Water & Sanitation														
Agriculture & Infrastructure														
Education														
Micro-finance														
Humanitarian Assistance														
Subtotal														
NICRA														
FY (year 1) Total Expenses														
FY (year 1) Closing Balance														

	Monetiz'n Proceeds Prev. Appr. year 2	Monetiz'n Proceeds Requested year 2	Section 202(e)Grant Prev.Appr. year 2	Section 202(e) Grant Requested year 2	Recipient Contrib'n Prev. Appr. year 2	Recipient Contrib'n Requested year 2	PVO Contrib'n Prev. Appr. year 2	PVO Contrib'n Requested year 2	USAID Mission Prev. Appr. year 2	USAID Mission Requested year 2	Local Gov't Prev. Appr. year 2	Local Gov't Requested year 2	Total Prev. Appr. year 2	Total Requested year 2
FY (year 2) Opening Balance														
FY (year 2) Income-new funds														
FY (year 2) Income-interest														
Total FY (year 2) income														
Funds available in FY (year 2)														
Expenses:														
Health & Nutrition														
Water & Sanitation														
Agriculture & Infrastructure														
Education														
Micro-finance														
Humanitarian Assistance														
Subtotal														
NICRA														
FY (year 2) Total Expenses														
FY (year 2) Closing Balance														

	Monetiz'n Proceeds Prev. Appr. LOA	Monetiz'n Proceeds Requested LOA	Section 202(e)Grant Prev.Appr. LOA	Section 202(e) Grant Requested LOA	Recipient Contrib'n Prev. Appr. LOA	Recipient Contrib'n Requested LOA	PVO Contrib'n Prev. Appr. LOA	PVO Contrib'n Requested LOA	USAID Mission Prev. Appr. LOA	USAID Mission Requested LOA	Local Gov't Prev. Appr. LOA	Local Gov't Requested LOA	Total Prev. Appr. LOA	Total Requested LOA
FY (year 1) Opening Balance														
LOA Income-new funds														
LOA Income-interest														
Total LOA income														
Funds available over LOA														
Expenses:														
Health & Nutrition														
Water & Sanitation														
Agriculture & Infrastructure														
Education														
Micro-finance														
Humanitarian Assistance														
Subtotal														
NICRA														
LOA Total Expenses														
LOA Closing Balance														

Note 1. Insert budgets for all fiscal years (FY) as needed

Note 2. Delete columns for funding sources not applicable

III. Restrictions

Section 202(e) funding will not be approved for the following types of activities:

- A. Costs that can be financed from other sources, such as Title II monetized proceeds, ITSH, Title II Institutional Support Assistance grants (ISAs), other USAID funding, and other donor contributions;
- B. Costs of development activities that are not supported by Title II resources;
- C. Needs assessments to explore possible new Title II programs (assessments are covered by ISAs).

IV. Proposal Submissions

Section 202(e) funds may be requested in order to support a Title II non-emergency program. Section 202(e) funds are considered an integral part of any Title II program and, therefore, are submitted as part of a DAP proposal, DAP amendment or CS Results Report/Resource Request (CSR4).

FFP intends to obligate Section 202(e) funding that parallel the life of the corresponding approved DAP. However, Section 202(e) funds are awarded on an annual basis subject to an annual review, the previous year's unexpended pipeline funds, and the availability of new funds. Therefore, FFP requires that each eligible organization request additional Section 202(e) funds for each year of an approved DAP, where appropriate. For future year requests, (i.e., CSR4 review), please make note of any changes to the activities and/or budget as presented in the approved DAP proposal.

For U.S. organizations, Section 202(e) funding is executed on the condition that funds be administered in accordance with the terms and conditions as set forth in 22 CFR 226 (USAID Regulation 26), entitled "Administration and Assistance Awards to U.S. Non-Governmental Organizations" and applicable standard provisions. Non-U.S. organizations will be required to follow the "Standard Provisions for Non-U.S. Non-Governmental Organizations" as found in ADS 303.

All Section 202(e) requests shall include the following:

A. Introduction

Provide a brief summary of the Title II program that the Section 202(e) funding will support.

B. Budget

Provide a detailed line item budget and a narrative justifying the level of Section 202(e) funding for the life of activity. The narrative and line item budget should specifically address the following items:

1. Salaries/Fringes/Benefits - identify the proposed staff positions. Section 202(e) funds can cover field based expatriate staff, including fringes, benefits, etc., that work full or part time on Title II activities. Section 202(e) funds will not cover local staff salaries, where monetization funding is available to cover this cost. Also, Section 202(e) funds, requested as a direct line- item, will not support HQ based staff.
2. Consultants/Technical Assistance - identify the type of consultancy/technical assistance needed in support of the Title II activities. Section 202(e) funds may cover all required dollar costs for a given consultancy (e.g., expatriate fees, travel, etc.). Section 202(e) funds will not cover local consultancies, where monetization funding is available to cover this cost.
3. Travel (& per diem) - separate between local and international travel. Section 202(e) funds will not cover local travel, where monetization funding is available to cover this cost.

International Travel - for requests which include international travel, indicate the number of trips, number of individuals per trip, destination of country, and estimated date of departure. USAID standard provisions state that international travel is allowable if each trip has received prior budget approval. Please refer to the "International Air Travel and Transportation (December 1995)" standard provision.

4. Training - Only those training activities (e.g. Title II workshops on Environmental Compliance) that directly support Title II activities and are country specific will be considered for Section 202(e) funding. Provide a description of each training event and how it will benefit Title II staff and/or beneficiaries. Also, Section 202(e) funds will not cover training activities/costs that are covered by foreign currency, where monetization funding is available to cover these activities/costs.

5. Supplies/Materials - (individual items below \$5,000) - please indicate the type of supplies/materials requested and how these items will support the Title II program. Section 202(e) funds will not cover supplies and materials that can be covered by foreign currency, where monetization funding is available to cover these costs.

6. Equipment - (individual items above \$5,000) - provide a list of all planned equipment purchases with an individual value of \$5,000 or greater and how these items will support the Title II program.

For a definition of "supplies" and "equipment" please refer to 22 CFR Part 226 (USAID Regulation 26).

7. Internal Transport - For development proposals, FFP recommends that internal transport, distribution, and storage costs be covered by the recipient country government or monetization funding. Section 202(e) will only be considered if the government contribution is inadequate and a monetization program does not exist.

8. Other Direct Costs - Please list other items such as occupancy, utilities, audit, evaluation, vehicle maintenance, etc. that require dollar funding. Section 202(e) funds will not cover such costs that can be covered by foreign currency, where monetization funding is available.

9. Indirect Costs - please include a copy (for DAP proposals and amendments only) of your organization's most current Negotiated Indirect Cost Rate Agreement (NICRA) with USAID or cognizant federal office.

C. Motor Vehicle Procurement

1. Provide a justification for the procurement of motor vehicles during the life of the grant period, including number of vehicles and the fiscal year during which the purchase is planned: type of vehicles; planned uses of vehicles; and estimate cost of each vehicle.

2. Provide a history of vehicle procurement including the size and condition of the current vehicle fleet, age of each vehicle, use of vehicles by activity, and plans for maintenance and replacement.

Since motor vehicles are considered restricted goods, the recipient shall not procure such items without the prior budget approval of FFP. Prior budget approval means that motor vehicles have been identified and incorporated in the program description or schedule of the award or amendments to the award; and the costs related to the motor vehicles are incorporated in the approved budget of the award. Where the item has not been incorporated into the award as described above, a separate written authorization from FFP must be provided before the item is procured. Refer to the "USAID Eligibility Rules for Goods and Services (March 1997)" standard provision and ADS 312 "Eligibility of Commodities."

Unless FFP agrees otherwise in writing, motor vehicles financed under Section 202(e) must be manufactured in the United States. All procurement of non-U.S.

vehicles requires a separate justification to be submitted to FFP and the relevant USAID Mission, and subsequent FFP approval. Waiver requests to purchase non-U.S. vehicles are to be included in the DAP proposal or amendment. Each request for non-U.S. vehicles will be reviewed according to the justification why U.S. vehicles are not adequate to carry out Title II activities and must be consistent with the cognizant USAID Mission's vehicle procurement policy/plan. The Mission Contracts Officer and/or Executive Officer (EXO) must advise FFP of their concurrence with the request, and a copy of the Mission's vehicle procurement policy should be provided to FFP. Refer to 22 CFR Part 229 "Source, Origin, and Nationality" ADS 310 and 312.

V. Review

Section 202(e) requests are reviewed as an integral part of a Title II DAP proposal, DAP amendment or CSR4. Each Section 202(e) request will be considered further with respect to individual merit, Title II activity priority, previous year's unexpended Section 202(e) pipeline, and the availability of new funding.

USAID Missions and REDSOs, in the absence of Mission presence in country, review Section 202(e) funding requests and make explicit recommendations for appropriate funding levels, including rationale, in the cabled Mission comments.

VI. Evaluation Criteria

Section 202(e) requests will be evaluated by:

- A. How it relates to the eligible uses, as explained above.
- B. How it describes the relationship of the proposed Section 202(e) activities to be funded to the overall Title II program and addresses critical needs of the program.
- C. The clarity and completeness of the submission.
- D. Prior performance and use of Section 202(e) funds.

Annex F

Environmental Review and Compliance Information

I. Background on Regulation 16

USAID's Environmental Procedures (known as 22 CFR 216 or Reg. 16) are meant to ensure that (1) the environmental consequences of USAID-funded activities are identified during the design stage, and that these consequences are considered prior to funding approvals and a decision to proceed with activity implementation; and (2) if possible, activities are identified that preserve or restore the natural resource base where the activity is located.

II. Title II Compliance with Regulation 16

Compliance with USAID's Environmental Procedures (known as 22 CFR 216 or Reg. 16) is required of all Title II development activities, whether they are supported by food assistance or Section 202(e) funding. All Title II Development Activity Program proposals should include an Initial Environmental Examination (IEE) with their proposal. If the IEE of the original DAP was cleared without conditions or a categorical exclusion was granted, the CS should only state "No changes" in the Environmental Compliance section of the CSR4 submission.

In all other situations, the CS should include, as an appendix to the CSR4, an Environmental Status Report (ESR) detailing the actions they have undertaken with regards to the previously approved IEE. The ESR should indicate whether mitigation plans are on schedule and detail the monitoring and evaluation measures being undertaken by the Cooperating Sponsor. The ESR face sheet must be signed by either the Mission Environmental Officer or the Food for Peace Officer. It should include an Environmental Status Report detailing the actions they have undertaken with regards to their previously approved IEE. This status report may be between 2-10 pages and should indicate if mitigation plans are on schedule and should detail the monitoring and evaluation measures being carried out by the Cooperating Sponsor. However, if a CS's FY 2002 submission contains changes that require a DAP amendment, an IEE amendment may need to be submitted with the DAP amendment. Please see sections A through D below for further details.

Cooperating Sponsors are encouraged to seek Mission review and clearance on DAP IEEs prior to official submission of the proposal to FFP/Washington. The same is true for CSR4 ESRs and IEE amendments for CSR4s or DAP amendments. Environmental documentation, marked draft, may be submitted informally through the Mission to the Bureau Environmental Officer. If environmental documentation is submitted with the DAP proposal, DAP amendment or R4 without having been cleared by the Mission, the CS should insure that it is clearly labeled as "draft -- not cleared by Mission." All draft Reg. 16 documentation must be returned to the Mission for required clearance and the

Mission may request revisions to ensure that Mission objectives, consideration of local conditions and consistency with environmental documentation of other Sponsors in the same country is achieved.

A. New DAPs

To meet this requirement, all DAP proposals must include an IEE, which must be cleared by the Mission Director or his/her designate. A statement as to whether the Mission concurs/does not concur with the CS's ESR (if applicable) should be included in the Mission's approval/comments cable to FFP. The CS is expected to submit the cleared document with their operational plan to FFP for clearance. FFP will obtain clearance from the FFP Director and forward the IEE to the BHR Bureau environmental Officer (BEO) for final concurrence. Note however, that if CSs and Missions are interested in getting feedback from the BHR, Geographic BEOs or a Regional Environmental Officer (REO) on a draft IEE prior to formal submission, they are encouraged to submit a copy for informal review to one or both BEOs or to the REO, where they exist. An IEE face sheet should accompany the IEE.

B. DAP Amendments

All DAP amendments must include an IEE amendment if a change has occurred from what was submitted in the original IEE. The same clearance process is followed as described above for DAP proposals. If no change has occurred, the process as described below for CSR4s should be followed.

C. Cooperating Sponsor CSR4 Submission

If the IEE of the proposal was cleared without conditions or a categorical exclusion was granted, the CS should only state "No changes" in the Environmental Compliance section of the CSR4.

In all other situations, the CS should include an Environmental Status Report as an appendix to the CSR4, detailing the actions they have undertaken or that need to be taken with regard to the previously approved IEE or Environmental Assessment /Programmatic Environmental Assistance where they might exist. In 2-10 pages, the ESR should indicate whether steps need to be taken to modify previous environmental documentation and whether conditions are being met (e.g., mitigation plans are on schedule and monitoring and evaluation measures are being undertaken by the Cooperating Sponsor). The CSs should include a matrix, or chart, in the ESR outlining that mitigation plans are being implemented as submitted in previous environmental documentation, (i.e. the IEE). An ESR face sheet is used for IEE amendments.

D. Deferrals

For those Cooperating Sponsors who received an FY 2001 deferral on one or more aspects of their program from the BHR Bureau Environmental Officer an amended IEE should be included with their following year's CSR4 to resolve each deferral or indicate that the activity will not be conducted, if that is the case.

III. IEE Preparation Resources

While these guidelines take precedence, The Environmental Documentation Manual also provides guidance on completing the IEE, IEE amendment and Environmental Status Report (ESR). The Manual also covers more in-depth environmental reviews, and defines many of the environmental compliance issues and terms used in these instructions. A Field Guide to USAID Environmental Compliance Procedures is a shorter field guide. In addition to these documents, both the Mission and Bureau Environmental Officers, and where they exist, Regional Environmental Officers, should be consulted.

Annex G

Commonly Used Value-Added * Commodities

(*Determined to be Processed, Fortified or Bagged:)

Bulgur	Wheat Hard Red Winter, Bagged
Corn, Bagged	Wheat Soft White, Bagged
Cornmeal	Wheat Hard Durum with BNT
Corn Soy Blend	Wheat Soft Red Winter with BNT
Instant Corn Soy Milk	Wheat Hard Red Winter with BNT
Corn Soy Milk	Wheat Soft White with BNT
Sorghum, Bagged	Beans, Navy
Nonfat Dried Milk	Corn Soy Masa Flour
Rice, Bagged	Beans, Black
Rice, Bulk with BNT	Beans, Great Northern
Soy Fortified Bulgur	Beans, Pink
Soy Fortified Rolled Oats	Beans, Kidney
Soy Fortified Sorghum Grits	Peas, Green Split
Vegetable Oil 4L	Peas, Yellow Split
Wheat Flour	Potato Flakes
Wheat Soy Blend	Infant Formula
Beans, Pinto	Whole Dry Milk
Peas, Green	
Vegetable Oil 20L	
Peas, Yellow	
Butter	
Cheese	
Wheat Soy Milk	
Lentils	
Beans, Red	
Fortified Non-Fat Dry Milk	
Butteroil 55 gal Drum	
Corn, Bulk with BNT	
Wheat Hard Durum, Bagged	
Wheat Soft Red Winter, Bagged	
Wheat Northern Spring Dark, Bagged	BNT=Bags, Needles & Twine

Annex H

Supplemental Information List

1. Legislation and Policy

- Regulation 11 and Public Law 480 (as amended through Public Law 104-130, April 9, 1996) *
- Food Aid and Food Security Policy Paper, 1995 *
- List of LDC/LIFDC Countries, 1999 *
- FFP Policy Letter (not yet available)

2. Commodity and Monetization Documents

- P.L. 480 Title II Monetization Field Manual, November 1999 *
- Background Paper and Guide to Addressing Bellmon Amendment Concerns on Potential Food Aid Disincentives and Storage*
- Commodity Reference Guide *
- Bellmon Certification Requirements for P.L. 480 Title II Activities - cable: STATE 086386

3. Monitoring and Evaluation and Program Reporting Reference Materials

- Cooperating Sponsor Results Report & Resource Request Guidelines *
- FANTA Indicator & Evaluation Guides *
- Performance Indicators for Food Security (published by CDIE)

4. Environmental Compliance Information for Title II Programs

- Environmental Documentation Manual (October, 1999)
- A Field Guide to USAID Environmental Compliance Procedures (March 5, 1999)

5. FFP Communications to USAID Missions Regarding Title II Development Programs

- Annual Review Requirements, Roles & Responsibilities - cable (not yet available)
- Checklist for Mission Management of Title II Programs (with examples)
- Memorandum of Understanding for “Delegated” Missions (sample)
- Enhanced Mission Authority over Title II Programs in Selected Countries (cable)

Note: Starred (*) documents are available directly or via links at

http://www.usaid.gov/hum_response/ffp

Other documents are available upon request from FFP (tel. 202-712-1828, email: rinenberg@usaid.gov).